

**UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF NEW YORK**

PHUNWARE, INC.,

Plaintiff,

vs.

Docket No. 1:23-cv-06426

UBS SECURITIES LLC,

Defendant.

RULE 7.1 DISCLOSURE STATEMENT

Pursuant to Rule 7.1(b)(1) of the Federal Rules of Civil Procedure, Defendant UBS Securities LLC, by and through its undersigned counsel, Cahill Gordon & Reindel LLP, certifies as follows:

- (1) Defendant UBS Securities LLC's direct corporate parents are UBS Americas Inc. and UBS Americas Holding LLC;
- (2) UBS Americas Inc. is wholly owned by UBS Americas Holding LLC;
- (3) UBS Americas Holdings LLC is wholly owned by UBS AG;
- (4) UBS AG is wholly owned by UBS Group AG, a publicly-traded company;
- (5) UBS Group AG has no parent company, and to its knowledge, no publicly held corporation owns ten percent or more of its stock.

Dated: New York, New York
August 28, 2023

CAHILL GORDON & REINDEL LLP

/s/ Herbert S. Washer

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